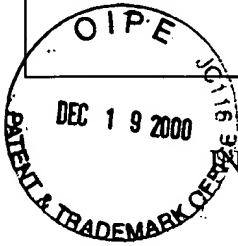


CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231, on December 15, 2000.

*Michelle Fissel*  
Michelle Fissel



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Michael L. BEACHAM et al.

Serial No.: 09/696,544

Filing Date: October 25, 2000

For: A METHOD AND SYSTEM FOR  
IDENTIFYING BOTTLENECKS IN A  
SECURITIES PROCESSING SYSTEM

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

RECEIVED

JAN 18 2001

Technology Center 2100

TRANSMITTAL

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed please find the following:

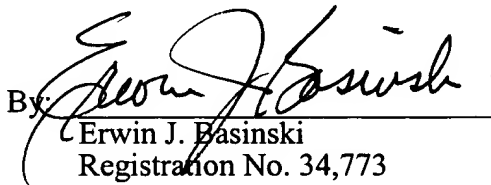
- 1) Information Disclosure Statement Under 37 C.F.R. § 1.97 (3 pages);
- 2) Form PTO-1449 (1 page) with attached 10 references; and
- 3) A return receipt postcard.

The Assistant Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17, and 1.21 that may be required by this transmittal, or to credit any overpayment, to Deposit Account No. 03-1952 referencing docket number 426882000200.

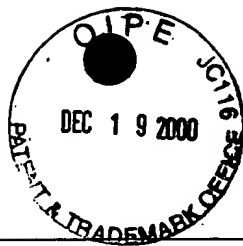
Respectfully submitted,

Dated: December 15, 2000

By

  
Erwin J. Basinski  
Registration No. 34,773

Morrison & Foerster LLP  
425 Market Street  
San Francisco, California 94105-2482  
Telephone: (415) 268-7144  
Facsimile: (415) 268-7522



PATENT  
Docket No. 426882000200

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231, on December 15, 2000.

*Michelle Fissel*  
Michelle Fissel

**RECEIVED**

JAN 18 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Technology Center 2100

In the application of:

Michael L. BEACHAM et al.

Serial No.: 09/696,544

Filing Date: October 25, 2000

For: A METHOD AND SYSTEM FOR  
IDENTIFYING BOTTLENECKS IN A  
SECURITIES PROCESSING SYSTEM

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

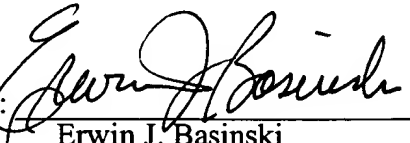
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this

document to **Deposit Account No. 03-1952** referencing **426882000200**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: December 15, 2000

Respectfully submitted,

By:   
Erwin J. Basinski  
Registration No. 34,773

Morrison & Foerster LLP  
425 Market Street  
San Francisco, California 94105-2482  
Telephone: (415) 268-7144  
Facsimile: (415) 268-7522